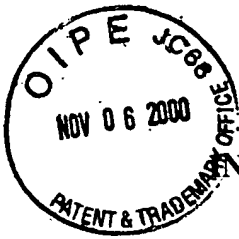


DOCKET NO.: MSFT-0186/154572.1

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**In Re Application of:**

Marco A. DeMello, Pavel Zeman,  
Vinay Krishnaswamy, Prashant Malik

**Serial No.: 09/604,939**

**Group Art Unit: 2782**

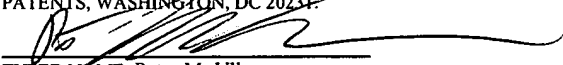
**Filing Date: June 27, 2000**

**Examiner: Not Yet Assigned**

**For: ASYNCHRONOUS COMMUNICATION  
WITHIN A SERVER ARRANGEMENT**

DATE OF DEPOSIT: 11-2-00

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH  
THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL,  
POSTAGE PREPAID ON THE DATE INDICATED ABOVE AND IS  
ADDRESSED TO OFFICE OF INITIAL PATENT EXAMINATION,  
CUSTOMER SERVICE CENTER, ASSISTANT COMMISSIONER FOR  
PATENTS, WASHINGTON, DC 20231.

  
TYPED NAME: Peter M. Ullman  
REGISTRATION NO.: 43,963

Office of Initial Patent Examination  
Customer Service Center  
Assistant Commissioner for Patents  
Washington DC 20231  
Attention:

**REQUEST FOR CORRECTED FILING RECEIPT**

1. Attached is a copy of the Official Filing Receipt received from the PTO in the above application for which issuance of a Corrected Filing Receipt is respectfully requested. The requested changes are noted thereon, as well as listed below.
2. There is an error with respect to the following data which is:


☒ incorrectly entered; and/or

☐ omitted.

<i>Error in</i>	<i>Correct data</i>
<b>Inventor's Name:</b> The last name of the last inventor, Prashant Malik, was misspelled	<b>Prashant Malik</b>
<b>Inventor's Address:</b> The residence of the last inventor, Prashant Malik, was omitted	Prashant Malik, <b>Bellevue, WA</b>

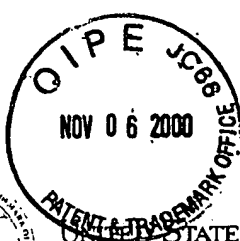
Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

Date: 11-2-00



Peter M. Ullman  
Registration No. 43,963

Woodcock Washburn Kurtz Mackiewicz & Norris LLP  
One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/604,939	06/27/2000	2782	1134	MSFT- 0186/154572.1	8	36	5

## FILING RECEIPT

Peter M Ullman  
Woodcock Washburn Kurtz Mackiewicz & Norris LLP  
One Liberty Place 46th Floor  
Philadelphia, PA 19103

RECEIVED



SEP 30 2000

Woodcock Washburn Kurtz  
Mackiewicz & Norris LLP

Date Mailed: 09/26/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Marco A. DeMello, Redmond, WA ;  
Pavel Zeman, Kirkland, WA ;  
Vinay Krishnaswamy, Woodinville, WA ;  
Prashant Milik, Residence Not Provided;

## Continuing Data as Claimed by Applicant

## Foreign Applications

If Required, Foreign Filing License Granted 09/25/2000

## Title

Asynchronous communication within a server arrangement

## Preliminary Class

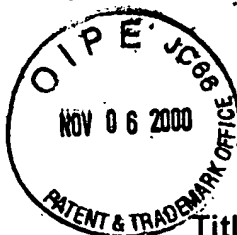
712

Data entry by : HINES, BRENDA

Team : OIPE

Date: 09/26/2000





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/604,939	06/27/2000	Marco A. DeMello	MSFT-0186/154572.1

Peter M Ullman  
Woodcock Washburn Kurtz Mackiewicz & Norris LLP  
One Liberty Place 46th Floor  
Philadelphia, PA 19103

## FORMALITIES LETTER



\*OC000000005426237\*

Date Mailed: 09/26/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:  
*Prashant Malik*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

11/09/2000 AMNDADF1 00000078 09604939

01 FC:105

130.00 0P

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Marco A. DeMello, Pavel Zeman, Vinay  
Krishnaswamy and Frank D. Byrum

Serial No.: 09/604,939


Group No.: 2782

Filing Date: June 27, 2000

Examiner: Not Yet Assigned

For: **ASYNCHRONOUS COMMUNICATION  
WITHIN A SERVER ARRANGEMENT**

DATE OF DEPOSIT: 11-2-00  
I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED  
WITH THE UNITED STATES POSTAL SERVICE AS FIRST  
CLASS MAIL, POSTAGE PREPAID ON THE DATE INDICATED  
ABOVE AND IS ADDRESSED TO BOX MISSING PARTS,  
ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON,  
DC 20231.

  
\_\_\_\_\_  
TYPED NAME: Peter M. Ullman  
REGISTRATION NO.: 43,963

**BOX MISSING PARTS**

Assistant Commissioner for Patents  
Washington DC 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

In response to the "Notice to File Missing Parts of Application--Filing Date Granted" dated  
September 26, 2000, a response to which is due November 26, 2000, enclosed herewith for filing  
is:

- ☒ The original Combined Declaration and Power of Attorney, executed by the inventor(s). An unexecuted copy of this document, attached to the above-identified specification, was filed by Express Mail No. EL531434181US on June 27, 2000.
- ☒ An Associate Power of Attorney is also enclosed.
- ☒ Request for Corrected Filing Receipt.

- ☐ Small entity status of this application under 37 CFR 1.9 and 1.27 has been established by a Statement previously submitted on @@.
- ☐ The original executed Statement Claiming Small Entity Status Under 37 CFR 1.9 and 1.27 is filed herewith.
- ☐ A Statement Claiming Small Entity Status Under 37 CFR 1.9 and 1.27 has been forwarded to the Refund Section, Accounting Division, Office of Finance on @@. A copy of this Statement Claiming Small Entity Status form and the Request for Refund form is enclosed for your convenience.
- ☒ A check in the amount of \$130.00 is attached to cover the surcharge. Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.
- ☐ Please charge the surcharge to my Deposit Account No. 23-3050 in the amount of \$@@.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in duplicate.
- ☒ Any patent application processing fees under 37 CFR 1.17 and under 37 CFR 1.20(d).
- ☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).
- ☒ Any filing fees under 37 CFR 1.16 including fees for presentation of extra claims.

Date: 11-2-00

Peter M. Ullman  
Registration No. 43,963



**DOCKET NO.: MSFT-0186/154572.1**

**- 3 -**

**PATENT**

Woodcock Washburn Kurtz  
Mackiewicz & Norris LLP  
One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439

© 1997 WWKMN